



1 BOARDS AND COMMISSIONS

2 KENTUCKY BOARD OF EXAMINERS OF PSYCHOLOGY

3 (Amendment)

4 201 KAR 26:171. Requirements for clinical supervision.

5 RELATES TO: KRS 319.032(1)(l), 319.050(3), (6), 319.056(4), (5), 319.064(3), (5), 319.082(1),
6 319.092(3)(d), 319.118(1)

7 STATUTORY AUTHORITY: KRS 319.032(1)(l)

8 NECESSITY, FUNCTION, AND CONFORMITY: KRS 319.032(1)(l) requires the board to
9 promulgate an administrative regulation governing the clinical supervision of a certified
10 psychologist, licensed psychological associate, candidate for licensure, or a credential holder
11 sanctioned by the board. This administrative regulation establishes the requirements for clinical
12 supervision.

13 Section 1. Board Approval Required.

14 (1) Except for graduate students as provided in Section 14 of this administrative regulation, a
15 supervisory arrangement shall have the prior approval of the board, with both clinical supervisor
16 and supervisee petitioning the board in writing.

17 (2) If there is a change in clinical supervisor or in the supervisory arrangement, the clinical
18 supervisor and supervisee shall:

(a) Proceed with the change as soon as practicable so as to avoid a lapse of clinical supervision for the supervisee; and

(b) Notify the board within thirty (30) days of the change for approval of the change of clinical supervisor or supervisory arrangement.

(3) It shall be the joint responsibility of the clinical supervisor and supervisee to assure that all reports, plans and goals, or other records of a supervisory relationship required by KRS Chapter 319 or these administrative regulations, are complete and filed with the board in a timely manner.

Section 2. Clinical Supervision Requirements.

(1) All clinical supervision requirements shall:

(a) Be met with individual, face-to-face, weekly contact between clinical supervisor and supervisee except as provided in subsection (2) of this section and Sections 11 and 14 of this administrative regulation; and

(b) Include additional clinical supervision sessions as needed.

(2) An alternative format of clinical supervision, including two (2) way interactive video, may be substituted for the supervisory contact, required by subsection (1) of this section, upon specific approval by the board.

Section 3. Relief from Clinical Supervision Requirements During Inactive Period.

1 (1) A certified psychologist or licensed psychological associate may petition the board to be
2 relieved of his or her obligation to maintain clinical supervision during which period he or she
3 shall not practice psychology.

4 (2) The certified psychologist or licensed psychological associate shall obtain a clinical
5 supervisor approved by the board before the resumption of practice.

6 (3) Upon resumption of practice, the certified psychologist or licensed psychological associate
7 shall:

8 (a) Document compliance with continuing education requirements; and

9 (b) Report on his or her activities and employment related to psychology during the period
10 without clinical supervision.

11 Section 4. Training and Continuing Education for Clinical Supervisors.

12 (1) A licensed psychologist with health service provider designation who has been approved
13 by the board as a clinical supervisor shall attend a board approved training session in clinical
14 supervisory practices within twelve (12) months of obtaining approval as a supervisor.

15 (2) A board approved clinical supervisor shall obtain a minimum of three (3) continuing
16 education hours in clinical supervision theory or techniques in each three (3) year renewal cycle
17 as required by 201 KAR 26:175, Section 2(4)(a). The board shall suspend its approval of a
18 clinical supervisor if the clinical supervisor does not complete the required continuing education.

Section 5. Clinical Supervisor Obligations.

(1) The clinical supervisor shall make all reasonable efforts to be assured that each supervisee's practice is in compliance with this administrative regulation.

(2) The clinical supervisor shall report to the board an apparent violation of KRS 319.082(1) on the part of the supervisee.

(3) The clinical supervisor shall inform the board immediately of a change in the ability to clinically supervise, or in the ability of a supervisee to function in the practice of psychology in a competent manner.

(4) The clinical supervisor shall control, direct, or limit the supervisee's practice as appropriate to ensure that the supervisee's practice of psychology is competent.

(5) The clinical supervisor of record shall be responsible for the practice of psychology by the supervisee. If the board initiates an investigation concerning a supervisee, the investigation shall include the clinical supervisor of record.

(6) For each person supervised pursuant to KRS 319.050(3), (6), 319.056(4), (5), 319.064(3), (5), or 319.092(3)(d), the clinical supervisor shall maintain a record of each supervisory session that shall include the type, place, and general content of the session. This record shall be maintained for a period of not less than six (6) years after the last date of clinical supervision.

Section 6. Clinical Supervisory Report.

- 1 (1) In calculating the amount of time spent in full-time practice while under clinical supervision,
- 2 1,800 hours of supervised practice shall be equivalent to one (1) year of experience.
- 3 (2) The clinical supervisor shall submit a Supervisory Report to the board of the clinical
- 4 supervision of each supervisee according to the following schedule:

CREDENTIAL STATUS	REPORTING PERIOD	REPORT DUE DATE(S)
(a) Licensed psychological associate or certified psychologist with 4 or more years of full-time practice, or its equivalent	Every 2 years (with prior board approval)	Anniversary date of supervisee's licensure
(b) Licensed psychological associate or certified psychologist with fewer than 4 years of full-time practice, or its equivalent	Yearly	Anniversary date of supervisee's licensure
(c) Temporarily licensed psychologist	Every 6 months and 1 month prior to structured <u>jurisprudence</u> exam	
(d) Temporarily licensed psychological associate	Every 6 months	

(e) Sanctioned credential holder	Quarterly	January, April, July, and October 15th
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2 (3) The report shall include:

3 (a) A description of the frequency, format, and duration of clinical supervision;

4 (b) An assessment of the functioning of the supervisee, including the strengths and weaknesses
5 of the supervisee; and

6 (c) Other information which may be relevant to an adequate assessment of the practice of the
7 supervisee.

8 Section 7. Multiple Clinical Supervisors.

9 (1) If a supervisee has more than one (1) board-approved clinical supervisor, the clinical
10 supervisors shall be in direct contact with one another at least once every six (6) months, and
11 they shall provide Supervisory Plans and Goals to the board and copies to one another.

12 (2) A request to have more than two (2) clinical supervisors at one (1) time shall require a special
13 application to the board which shall include detailed information as to how the clinical
14 supervisors shall communicate and coordinate with each other in providing the required clinical
15 supervision.

16 Section 8. Clinical Supervisor Responsibilities. The clinical supervisor of record shall:

1 (1) Review and countersign psychological assessments as appropriate based on the supervisee's
2 level of experience;

3 (2) Review treatment plans, progress notes, and correspondence as needed to assess the
4 competency of the supervisee to render psychological services;

5 (3) Jointly establish with the supervisee Supervisory Plans and Goals that shall be submitted to
6 the board at the beginning of the supervisory relationship. The Supervisory Plans and Goals
7 shall:

8 (a) Be updated or revised and submitted to the board with the regular report of clinical
9 supervision;

10 (b) Include intended format and goals to be accomplished through the supervisory process; and

11 (c) Include methods that the clinical supervisor and supervisee shall employ to evaluate the
12 supervisory process;

13 (4) Have direct observation of the supervisee's work:

14 (a) For a licensed psychological associate or a certified psychologist with less than four (4) years
15 of full-time, post-licensure practice, or its equivalent, or a licensure candidate with temporary
16 permission to practice, direct observation shall take place at least once every two (2) months;

17 (b) For a licensed psychological associate or certified psychologist with more than four (4) years
18 of full-time, post-licensure practice, or its equivalent, direct observation shall take place as
19 needed;

- (c) Direct observation may be accomplished through audiotaping, video camera, videotaping, one (1) way mirror, or as a co-therapist;
- (5) Have direct knowledge of the size and complexity of the supervisee's caseload;
- (6) Limit and control the caseload as appropriate to the supervisee's level of competence;
- (7) Have knowledge of the therapeutic modalities and techniques being used by the supervisee;
- and
- (8) Have knowledge of the supervisee's physical and emotional well-being when it has a direct bearing on the supervisee's competence to practice.

Section 9. Supervisee Responsibilities. (1) The supervisee shall:

- (a) Keep the clinical supervisor adequately informed at all times of his or her activities and ability to function; and
 - (b) Seek clinical supervision as needed in addition to a regularly scheduled supervisory session.
- (2) The supervisee shall:
- (a) Participate with the clinical supervisor in establishing Supervisory Plans and Goals and in completing the regular Supervisory Reports;
 - (b) Be jointly responsible with the clinical supervisor for ensuring that a Supervisory Report has been sent to the board in accordance with the reporting schedule established in Section 6(2) of this administrative regulation; and

(c) Report to the board an apparent violation of KRS 319.082(1) on the part of the clinical supervisor.

Section 10. Identification of Provider. The actual deliverer of a service shall be identified to the client. A billing for a rendered service shall identify which service was performed by the certified psychologist, licensed psychological associate, temporary licensed psychologist, trainee, or other provider and supervised by the licensed psychologist.

Section 11. Frequency of Clinical Supervision.

(1) A licensed psychological associate or certified psychologist shall have a minimum of one (1) hour of individual face-to-face clinical supervision on a weekly basis for the first two (2) years of full-time practice or its equivalent following licensure.

(2) After two (2) years of full-time, post-licensure practice, or its equivalent, the clinical supervisor and supervisee may petition the board using a Request for Change of Supervisor and/or Frequency to alter the format, frequency, or duration of supervision if the proposed change includes a minimum of two (2) one (1) hour individual face-to-face meetings every four (4) weeks, and the total amount of clinical supervision is not less than four (4) hours per four (4) week period. This petition may include a request to change the format from individual to group clinical supervision. Clinical Supervision requirements for part-time practice may be modified at the discretion of the board upon approval of the submitted plan.

1 (3)(a) After four (4) years of full-time, post-licensure practice, or its equivalent, the clinical
2 supervisor and supervisee may petition the board for further modification of the format,
3 frequency, or duration of supervision using a Request for Change of Supervisor and/or
4 Frequency, if the proposed change includes a minimum amount of one (1) hour of face-to-face
5 clinical supervision per month. Additional modifications of the format, frequency or duration of
6 clinical supervision may be submitted for approval by the board.

7 (b) Upon a change of clinical supervisor, a new Supervisory Plans and Goals shall be submitted
8 by the clinical supervisor and supervisee to the board for approval. This plan may require
9 additional clinical supervision than was previously approved by the board.

10 (c) Upon termination of the supervisor-supervisee relationship, the final Supervisory Report shall
11 be submitted to the board within thirty (30) days of the termination.

12 (4) Any change in the frequency or duration of clinical supervision under this section may not
13 occur automatically, but only upon a written request to the board and approval of the request by
14 the board.

15 Section 12. Clinical Supervision of a Disciplined Credential Holder.

16 (1) The board shall appoint an approved clinical supervisor to supervise a disciplined credential
17 holder for the period of time defined by the board.

18 (2) The disciplined credential holder shall be responsible for paying the fee for clinical
19 supervision.

- (3) The clinical supervisor shall have completed the board approved training course in supervision.
- (4) The clinical supervisor shall:
- (a) Review the originating complaint, agreed order, or findings of the disciplinary hearing;
 - (b) Meet with the disciplined credential holder and the board liaison to:
 - 1. Summarize the actions and concerns of the board;
 - 2. Review the goals and expected outcomes of clinical supervision submitted by the board liaison;
 - 3. Develop a specific plan of clinical supervision; and
 - 4. Review the reporting requirements that shall be met during the period of clinical supervision;
 - (c) Meet with the disciplined credential holder at least weekly, on an individual face-to-face basis for a minimum of one (1) hour unless modified by the board;
 - (d) Submit a quarterly report to the board which reflects progress, problems, and other information relevant to the need for board-mandated supervision;
 - (e) Make all reasonable efforts to ensure that the disciplined credential holder's practice is in compliance with KRS Chapter 319 and 201 KAR Chapter 26;
 - (f) Report to the board any apparent violation of KRS 319.082(1) on the part of the disciplined credential holder;

- (g) Immediately report to the board in writing a change in the ability to clinically supervise, or in the ability of the disciplined credential holder to function in the practice of psychology in a competent manner;
- (h) Review and countersign psychological assessments as needed or appropriate;
- (i) Review treatment plans, notes, and correspondence as needed or appropriate;
- (j) Have direct observation of the disciplined credential holder's work on an as-needed basis;
- (k) Have direct knowledge of the size and complexity of the disciplined credential holder's caseload;
- (l) Have knowledge of the therapeutic modalities and techniques being used by the disciplined credential holder; and
- (m) Have knowledge of the disciplined credential holder's physical and emotional well-being when it has direct bearing on the disciplined credential holder's competence to practice.
- (5) The clinical supervisor shall control, direct, or limit the disciplined credential holder's practice as appropriate to ensure that the disciplined credential holder's practice is competent.
- (6) The clinical supervisor shall contact the board liaison with any concern or problem with the disciplined credential holder, his or her practice, or the supervision process.
- (7) A final meeting shall be scheduled within thirty (30) days of the end of the established supervision period to summarize the clinical supervision. The meeting shall include the clinical

supervisor, disciplined credential holder, and board liaison. A written summary of the supervision shall be submitted by the clinical supervisor to the board two (2) weeks following this meeting with a copy to the board liaison.

Section 13. Board Liaison for Disciplined Credential Holder. The board shall appoint a board member to serve as a liaison between the board and the approved clinical supervisor. The board liaison shall:

(1) Recruit the clinically supervising psychologist from a list provided by the board;

(2) Provide the clinically supervising psychologist with the originating complaint, agreed order, or findings of the hearing and supply other material relating to the disciplinary action as deemed appropriate by the liaison;

(3) Ensure that the clinically supervising psychologist is provided with the necessary documentation for liability purposes to clarify that he or she is acting as an agent of the board pursuant to KRS 319.118(1) and has immunity commensurate with that of a board member;

(4) Provide the clinically supervising psychologist with a written description of the responsibilities of the clinical supervisor and a copy of the responsibilities of the liaison;

(5) Ensure that the board has sent a written notification letter to the disciplined credential holder.

The notification letter shall:

(a) State the name of the supervising clinical psychologist; and

- 1 (b) Specify that the disciplined credential holder shall meet with the clinical supervising
2 psychologist and the liaison within thirty (30) days of the date of the notification letter;
- 3 (6) Meet with the clinically supervising psychologist and disciplined credential holder within
4 thirty (30) days of the date of the notification letter to summarize the actions of the board, review
5 the applicable statutes and administrative regulations regarding clinical supervision requirements
6 for a disciplined credential holder, and assist with the development of a plan of supervision. The
7 plan of supervision shall be written at the first meeting;
- 8 (7) Submit the report of supervision to the board for approval. The liaison shall place the report
9 of supervision on the agenda for review and approval at the next regularly scheduled board
10 meeting. In the interim, the clinically supervising psychologist and disciplined credential holder
11 shall continue to meet;
- 12 (8) Remain available to the clinically supervising psychologist to provide assistance and
13 information as needed;
- 14 (9) Report any problem or concern to the board regarding the supervision and communicate a
15 directive of the board to the clinically supervising psychologist;
- 16 (10) Review the quarterly report of supervision and forward the report to the supervision
17 committee of the board for approval; and
- 18 (11) Meet with the clinically supervising psychologist and the disciplined credential holder at the
19 end of the term of supervision to summarize the clinical supervision.

Section 14. Psychology Graduate Students. Graduate-level psychology students who are providing services in psychological health care settings including independent practice settings shall:

(1) Be clinically supervised by a psychologist licensed by the Board of Examiners of Psychology with health service provider status, licensed at the doctoral level by the State Board of Examiners in the state in which the training program exists, or by a licensed mental health professional approved by the training program who is affiliated with either the university training program or the practice setting;

(2) Be registered for credit in his or her course of study;

(3) Clearly identify their status as unlicensed psychology trainees to all clients and payers;

(4) Give to all clients and payers the name of the licensed psychologist responsible for their work; and

(5) Not accept employment or placement to perform the same or similar activities following the completion of their university-sanctioned placement, regardless of the job title given, unless the student holds a license from the board.

Section 15. Incorporation by Reference.

(1) The following material is incorporated by reference:

(a) "Supervisory Plans and Goals", December 2018;

- 1 (b) "Supervisory Report", December 2018; and
- 2 (c) "Request for Change of Supervisor and/or Frequency", October 2016.
- 3 (2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at
- 4 the Kentucky Board of Examiners of Psychology, 500 Mero Street, [~~911 Leawood Drive~~,]
- 5 Frankfort, Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m.

Jean A. Deters, Psy. D.

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2 Jean A. Deters, Psy. D.

3 BOARD CHAIR

4 APPROVED BY AGENCY: March 1, 2021

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PUBLIC HEARING AND PUBLIC COMMENT PERIOD:

A public hearing on this administrative regulation shall, if requested, be held on May 28, 2021, at 10:00 a.m. in Room 127, The Mayo-Underwood Building, 500 Mero Street, Frankfort, Kentucky 40601. Alternately, the public hearing may be conducted by way of Zoom if the Mayo-Underwood Building is still closed due to the pandemic. A Zoom link will be posted on the Board website if necessary. Individuals interested in attending this hearing shall notify this agency in writing by May 21, 2021, five (5) workdays prior to the hearing, of their intent to attend. If no notification of intent to attend is received by that date, the hearing may be canceled. This hearing is open to the public. Any person who attends will be given an opportunity to comment on the proposed administrative regulation. A transcript of the public hearing will not be made unless a written request for a transcript is made. If you do not wish to be heard at the public hearing, you may submit written comments on this proposed administrative regulation until May 31, 2021. Send written notification of intent to attend the public hearing or written comments on the proposed administrative regulation to the contact person. Pursuant to KRS 13A.280(8), copies of the statement of consideration and, if applicable, the amended after comments version of the administrative regulation shall be made available upon request.

CONTACT PERSON: David C. Trimble, Board Attorney, 500 Mero Street, Frankfort, KY 40601, phone +1 (502) 782-8823, fax +1 (502) 564-3969, email DavidC.Trimble@ky.gov.

REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Contact Person: David C. Trimble

(1) Provide a brief summary of:

(a) What this administrative regulation does: KRS 319.032 authorizes the Kentucky Board of Examiners of Psychology to promulgate administrative regulations consistent with KRS Chapter 319, regulating the practice of psychology. This administrative regulation establishes procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision..

(b) The necessity of this administrative regulation: This administrative regulation is required by KRS 319.032.

(c) How this administrative regulation conforms to the content of the authorizing statutes: KRS 319.032 authorizes the Kentucky Board of Examiners of Psychology to promulgate administrative regulations consistent with KRS Chapter 319, regulating the practice of psychology. This administrative regulation establishes procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This regulation assists in the effective administration of KRS Chapter 319 by carrying out the legislative mandate for the board to establish regulations for the practice of psychology.

(2) If this is an amendment to an existing administrative regulation, provide a brief summary of:

(a) How the amendment will change this existing administrative regulation: The Amendment clarifies procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision..

(b) The necessity of the amendment to this administrative regulation: The amendment is necessary to update procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision.

(c) How the amendment conforms to the content of the authorizing statutes: KRS 319.032 authorizes the Kentucky Board of Examiners of Psychology to promulgate administrative regulations consistent with KRS Chapter 319, regulating the practice of psychology. This administrative regulation establishes procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the

board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision.

(d) How the amendment will assist in the effective administration of the statutes: This regulation assists in the effective administration of KRS Chapter 319 by carrying out the legislative mandate for the board to establish requirements for the practice of psychology.

(3) List the type and number of individuals, businesses, organizations, or state and local governments affected by this administrative regulation: This regulation will affect 1,772 licensed psychologists practicing in the Commonwealth of Kentucky, as well as an unknown number of their patients who depend on their psychologist remaining current with their training.

(4) Provide an analysis of how the entities identified in the previous question will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including:

(a) List the actions each of the regulated entities have to take to comply with this regulation or amendment: This regulation will provide updated procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision..

(b) In complying with this administrative regulation or amendment, how much will it cost each of the entities: This regulation should add no additional cost to the licensed psychologist.

(c) As a result of compliance, what benefits will accrue to the entities: This regulation will allow psychologists to have an updated understanding of procedures for clinical supervision of certified psychologist, licensed psychological associate, candidate for licensure, a credential holder sanctioned by the board, or a credential holder under disciplinary action, and clarifies that this type of supervision is clinical, not administrative or business supervision..

(5) Provide an estimate of how much it will cost the administrative body to implement this administrative regulation:

(a) Initially: This administrative regulation does not create a cost for the administrative body.

(b) On a continuing basis: This administrative regulation does not create a cost for the administrative body

(6) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation: The Kentucky Board of Examiners of Psychology is self-funded through the fees paid by licensees. No additional funding is necessary for the implementation and enforcement of this administrative regulation.

(7) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: No increases in fees or funding is necessary to implement the amendment to this administrative regulation.

(8) State whether or not this administrative regulation established any fees or directly or indirectly increased any fees: No increases in fees or funding is necessary to implement this administrative regulation.

(9) TIERING: Is tiering applied? Tiering is not applied because similarly situated licensees are treated similarly under this administrative regulation.

FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Regulation: 201 KAR 26:171

Contact Person: David C. Trimble, phone +1 (502) 782-8823, email DavidC.Trimble@ky.gov

(1) What units, parts or divisions of state or local government (including cities, counties, fire departments, or school districts) will be impacted by this administrative regulation? This administrative regulation impacts the Kentucky Board of Examiners of Psychology.

(2) Identify each state or federal statute or federal regulation that requires or authorizes the action taken by the administrative regulation. KRS 319.032(1).

(3) Estimate the effect of this administrative regulation on the expenditures and revenues of a state or local government agency (including cities, counties, fire departments, or school districts) for the first full year the administrative regulation is to be in effect.

(a) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for the first year?

This administrative regulation does not generate revenue for the Board.

(b) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for subsequent years? This administrative regulation does not generate revenue for the Board.

c) How much will it cost to administer this program for the first year? This administrative regulation does not create a cost for the Board.

(d) How much will it cost to administer this program for subsequent years? This administrative regulation does not create a cost for the Board.

Note: If specific dollar estimates cannot be determined, provide a brief narrative to explain the fiscal impact of the administrative regulation.

Revenues (+/-):

Expenditures (+/-):

Other Explanation: